

**PENNDOT – Engineering District 10-0  
ISO 9001 Internal Audit Report  
(02/06)**

<b>Department</b>	<b>Audit Process</b>	<b>Date &amp; Time of Audit</b>
Construction	7.3, 7.4, 7.5	11/27/13 11:00AM

<b>Auditor(s)</b>	<b>Audit Objectives:</b>
1. Michael J. Shanshala III, P.E. 2. Ben Matthews	To review process compliance with ANSI/ISO/ASQ Q9001-2000 Sections 7.3, 7.4, and 7.5

<b>Name of Auditee(s)</b>	<b>Auditee(s) job Function</b>
1. Paul Koza, P.E.	1. ADE-Construction

<b>Item(s) or areas audited</b>
7.3 Design and Development 7.4 Purchasing 7.5 Control of Production and Service Provision

<b>Auditee Comments:</b>
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<b><u>Plan approved by: (Management Representative)</u></b>
Tab Boyer, P.E.

# PENNDOT – Engineering District 10-0

## ISO 9001 Internal Audit Report

### Audit Criteria

#### External requirements (questions)

1. What process is used to insure that the level of expertise of construction inspector serves the need of the project work?
2. How is a poor performing consultant made aware of substandard performance?
3. What mechanism exists for contractor to evaluate performance of department related to inspection, project management, and design?

#### External requirements (answers)

1. ACE's make an evaluation of the inspectors as per 7.5.1.0 of ISO. IIC's previous work experiences are used in determination of assignments.
2. There are two ways consultants are made aware of poor performance. The first is by Pub. 93 consultant evaluations when the consultant contract is completed. Also, if needed, interim evaluations are completed by Consultant Agreement Engineer or ACE to inform consultant of poor performance.
3. There currently is no mechanism in place for the contractor to evaluate performance of the Department for inspection or project management. Currently the District is working on a survey for the contractor to evaluate inspection and project management. The District is following a model that is in place by District 11 to develop this survey. Designs are evaluated in ECMS by the contractor and project manager.

#### Internal requirements (questions)

1. What process is used in the selection and appointment of appropriate people in the construction unit in the constructability review process?
2. How does the construction unit assure that suggested improvements found in constructability reviews are incorporated into designs before letting?
3. How are field changes that differ from final designs documented?
4. How are constructability issues vs. design errors addressed to prevent future issues?

#### Internal requirements (answers)

1. Construction Services Engineer gets a list of projects in design that is then passed along to the ACE's. The ACE then evaluates the project and assigns an IIC based on previous work experience.
2. After completion of the constructability review changes are either made or not made to a plan by the designer. Comments are to be tracked and documented by Larry Cernansky, Constructability Process Owner. The explanations as to why or why not comments were addressed are to be included in the document. The previous process was to circulate the final plan for signature without explanations.
3. These changes are documented through design-field meetings and As-Built plans. IIC is to discuss throughout the entire project with designers any changes that may take place during the project. Also, all As-Built mylars are to be completed as per requirements and returned to the design unit. The As-Built mylars also include mylars for all shop drawings. ACE's are now following up on all projects that do not have all required mylars turned in.
4. Issues are discussed at the IIC/Design PM meeting held in the fall. Issues are also discussed at the annual Fall ASHE/APC meeting. Pub 93 is followed for design errors.

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## Overall Statement of Effectiveness of the Quality Management System

### Areas of strength regarding ability to meet requirements- including observed BEST Practices

1. Construction Unit has a very good process that is followed in evaluation of consultants design and inspection.

### Areas to consider for improvement:

1. Develop a way for the contractor to evaluate PennDOT project management and inspection of construction projects.

### Specific observed nonconformities (Findings): If Applicable, Follow-up Scheduled:

1. N/A

### Observations and auditor comments:

1. Detailed process in place and followed for all sections audited.

### Statement of overall effectiveness of the system:

- Construction Unit incorporates and follows all processes outlined in sections 7.3, 7.4, and 7.5.

### Distribution of Audit Report:

- Manager of area audited
- A.D.E. Construction
- ISO Management Representative

### Unit Manager Comments Including Follow-Up Action: (if any)



**Will follow-up with an evaluation of Construction personnel, IIC, by Contractors in ECMS. Steve Geidel in process**